

EMTS System Changes

I. Introduction

Several changes are scheduled for EMTS during the fourth quarter of 2011. Most of these changes involve data reporting field name changes, new non-required fields, minimum lengths for fields, and the reordering of fields. In addition, there is one new required field for separate and retire transactions.

This document describes each of the changes and then outlines the effects of the changes on three groups of users: 1) EMTS Node users; 2) EMTS Conversion Tool (ECT) users; and 3) EMTS Web interface users. Users will need to modify the way they currently interact with EMTS in response to these system changes.

II. List of Changes

The upcoming EMTS system changes are related to the XML Schema Document (XSD). The XSD is the underlying structure for organizing XML transaction data reported through both the EMTS web interface and the EMTS node.

The following XSD changes will be implemented (see Appendix A for more information):

1. A transaction date will be required for Separate and Retire transactions. The data element name will be "TransactionDate," which has always been required for the other types of transactions. See Number 2 below for changes to the Buy and Sell transaction date element.
2. In Buy and Sell transactions, the "Transaction Date" will be referred to as the "Transfer Date." The new data element name will be "TransferDate."
3. The element "FeedstockVolume" will be renamed to "FeedstockQuantity." This will only affect generate transactions.
4. Seven new, non-required reporting elements will be created to add functionality for users:

a) MatchingTransactionIdentifier

This element will allow users to accept specific buy/sell transactions in the case of several similar transactions. It is a unique identifier assigned by EMTS to an initiated trade. When accepting a trade, users will be able to include this element in the trade matching criteria (along with the other trade matching criteria currently in effect). If this element is reported, EMTS will attempt to locate a matching transaction based on the MatchedTransactionIdentifier. If a match is not found, then the transaction will fail. If this element is not reported, then it will not be used in the trade matching (but all other required matching elements will still apply).

NOTE: This element only applies to users that submit transactions via XML files.

- b) *SupportingDocumentDetail*
- c) *SupportingDocumentText*
- d) *SupportingDocumentNumberText*

The Supporting Document elements above will be added to Generate transactions. These elements have always been available for the other types of transactions. Supporting Document elements allow organizations to track transactions based on internal documentation, such as invoices, BOLs, etc.

- e) *PublicSupportingDocumentDetail*
- f) *SupportingDocumentText*
- g) *SupportingDocumentNumberText*

This complex type PublicSupportingDocumentDetail contains the elements SupportingDocumentText and SupportingDocumentNumberText. These fields will allow users to create unique supporting document text that can be viewed by both trading parties in buy and sell transactions.

5. The following elements will have a minimum length (i.e, they cannot be blank) to prevent users from omitting these data elements from XML files:

- AssignmentCode
- ReasonCode (i.e, BuyReasonCode, SellReasonCode, SeparateReasonCode and RetireReasonCode)
- FuelTypeCode
- ComplianceLevelCode

NOTE: Previously, these elements were checked during submission processing by EMTS. In the future, the file will fail XML validation and not reach EMTS if these elements are blank.

6. The following elements will be reordered for consistency across all complex transactions:

- SeparateReasonCode will be moved below RINYear; and
- GenerateTransactionDetail will be reordered to match the other transaction types.

III. EMTS Nodes

Organizations that use nodes to send and receive data in EMTS will need to update their internal processes for creating and validating XML files to accommodate the changes listed in Section 2 of this document. When the changes are implemented in EMTS, node users should perform the following steps:

- 1) Obtain the revised XSD: EMTS-Schema-2.0.zip
- 2) Implement the revised XSD.
- 3) Generate XML files based on the revised XSD.
- 4) Validate the XML files using one of these methods:
 - EPA's XML Schema Validation Tool, a web-based validation tool that utilizes a set of XML web services to validate XML files against the associated schemas and custom rules, located at <http://tools.epacdxnode.net/>.
 - A third party XML validation tool that ensures XML files are both well-formed and valid according to the EMTS schema specifications.
- 5) Test the XML file submission in the CDX Test and EMTS Testing environments.

IV. EMTS Conversion Tool (ECT)

The ECT is a tool that was created by EPA to convert Excel file templates into XML files to submit to EMTS. ECT users can input RIN transaction data into Excel files rather than using the EMTS web interface to create transactions. The ECT will be updated to include the upcoming changes to EMTS. The Excel templates for data input and the XML files generated by the ECT will include the changes listed in Section 2 of this document.

NOTE: Once the upcoming EMTS changes have been implemented, files that are created using previous versions of the ECT will no longer be accepted by EMTS.

V. EMTS Web Interface

The EMTS web interface will be updated to include the changes listed in Section 2 of this document. Users will see the element name changes on the web forms, drop-down menus and EMTS reports

Appendix A
List of Proposed EMTS System Changes

Type of Change	New Element Name	Old Element Name	Type of Transaction(s) Affected	Required Reporting Element?	Description of Change
New required element	TransactionDate	N/A	Separate Retire	Yes	A transaction date is now required for Separate and Retire transactions. This element has always been required for the other types of transactions; see below for changes related to Buy/Sell transactions.
Changed name of required element	TransferDate	TransactionDate	Buy Sell	Yes	In Buy and Sell transactions only, the Transaction Date will now be referred to as the Transfer Date.
	FeedstockQuantity	FeedstockVolume	Generate	Yes	Feedstock Quantity is now referred to as Feedstock Volume.
New non-required element	MatchingTransaction Identifier	N/A	Buy Sell	No	This element was added to allow users to match trades on Transaction Identifiers (additional matching criteria).
	SupportingDocument Detail	N/A	Generate	No	Supporting Document elements have been added to Generate transactions. These elements have always been available for the other types of transactions. Supporting Document elements allow organizations to track transactions based on internal documentation, such as invoices.
	SupportingDocument Text	N/A	Generate	No	
	SupportingDocument NumberText	N/A	Generate	No	
	PublicSupporting DocumentText	N/A	Buy Sell	No	This complex type contains the SupportingDocumentText and SupportingDocumentNumberText. It will allow users to create unique supporting document text that can be viewed by both trading parties in buy and sell transactions.

Type of Change	New Element Name	Old Element Name	Type of Transaction(s) Affected	Required Reporting Element?	Description of Change
					(cont.)
Set minimum length for element	N/A	AssignmentCode	Buy Sell Separate Retire	Yes	The new required minimum length for reporting Assignment Code is 1 character (and the maximum length is 2 characters).
	N/A	BuyReasonCode SellReasonCode SeparateReasonCode RetireReasonCode	Buy Sell Separate Retire	Yes	The new required minimum length for reporting any Reason Code (Buy, Sell, Separate or Retire) is 1 character (and the maximum length is 4 characters).
	FuelTypeCode	FuelCategoryCode	Generate	Yes	The new required minimum length for reporting Fuel Type Code is 1 character (and the maximum length is 3 characters).
	N/A	ComplianceLevel Code	Retire	No	The new required minimum length for reporting Compliance Level Code is 1 character (and the maximum length is 2 characters).
Reordered elements	N/A	SeparateReasonCode	Sell	Yes	Reordered elements for consistency across all transaction complex types. Moved SeparateReasonCode below RINYear.
	N/A	GenerateTransactionDetail	Generate	No	Reordered elements for consistency across all transaction complex types. See EMTS_GenerateTransactionDetail_v2.0 for element order.